User Guidance

www.adviserinfo.sec.gov

IAPD Report

Joshua Shapiro

CRD# 4681986

When communicating online or investing with any professional, make sure you know who you're dealing with. Imposters might link to sites like BrokerCheck from phishing or similar scam websites, or through social media, trying to steal your personal information or your money.

Please contact FINRA with any concerns.

IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page http://www.nasaa.org/IAPD/IARReports.cfm

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association http://www.nasaa.org

Report Summary

Joshua Shapiro (CRD# 4681986)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **07/06/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	CETERA WEALTH SERVICES, LLC	CRD# 13572	04/26/2022
IA	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	06/29/2023

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **45** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	CETERA ADVISOR NETWORKS LLC	13572	EL SEGUNDO, CA	04/26/2022 - 06/29/2023
IA	MUTUAL TRUST ASSET MGMT., INC.	121364	Camarillo, CA	10/04/2021 - 05/05/2022
B	MUTUAL TRUST COMPANY OF AMERICA SECURITIES	8494	ST. PETERSBURG, FL	09/22/2021 - 05/05/2022

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Termination	2

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **45** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **CETERA WEALTH SERVICES, LLC**

Main Address: 2301 ROSECRANS AVE #5100
EL SEGUNDO, CA 90245

Firm ID#: 13572

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	04/26/2022
B	Alabama	Agent	Approved	06/22/2022
B	Arizona	Agent	Approved	06/29/2022
B	Arkansas	Agent	Approved	08/24/2022
B	California	Agent	Approved	04/27/2022
B	Colorado	Agent	Approved	06/01/2022
B	Connecticut	Agent	Approved	06/16/2022
B	Delaware	Agent	Approved	06/27/2022
B	District of Columbia	Agent	Approved	06/17/2022
B	Florida	Agent	Approved	10/07/2022
B	Georgia	Agent	Approved	05/05/2022
B	Hawaii	Agent	Approved	07/05/2022
B	Idaho	Agent	Approved	06/23/2022

Qualifications

	Regulator	Registration	Status	Date
B	Illinois	Agent	Approved	01/12/2023
B	Indiana	Agent	Approved	07/18/2022
B	Iowa	Agent	Approved	05/11/2022
B	Kansas	Agent	Approved	05/06/2022
B	Kentucky	Agent	Approved	05/09/2022
B	Louisiana	Agent	Approved	06/21/2022
B	Maryland	Agent	Approved	05/05/2022
B	Massachusetts	Agent	Approved	06/24/2022
B	Michigan	Agent	Approved	05/11/2022
B	Minnesota	Agent	Approved	05/06/2022
B	Mississippi	Agent	Approved	06/21/2022
B	Missouri	Agent	Approved	07/15/2022
B	Nebraska	Agent	Approved	05/20/2022
B	Nevada	Agent	Approved	07/19/2022
B	New Hampshire	Agent	Approved	02/03/2026
B	New Jersey	Agent	Approved	05/26/2022
B	New Mexico	Agent	Approved	05/05/2022
B	New York	Agent	Approved	05/07/2022
B	North Carolina	Agent	Approved	05/17/2022

Qualifications

	Regulator	Registration	Status	Date
B	North Dakota	Agent	Approved	06/20/2022
B	Ohio	Agent	Approved	05/05/2022
B	Oklahoma	Agent	Approved	06/21/2022
B	Pennsylvania	Agent	Approved	05/10/2022
B	South Carolina	Agent	Approved	06/22/2022
B	South Dakota	Agent	Approved	07/26/2022
B	Tennessee	Agent	Approved	05/18/2022
B	Texas	Agent	Approved	05/06/2022
B	Utah	Agent	Approved	07/15/2022
B	Vermont	Agent	Approved	05/21/2024
B	Virginia	Agent	Approved	05/05/2022
B	Washington	Agent	Approved	06/06/2022
B	Wisconsin	Agent	Approved	06/23/2022
B	Wyoming	Agent	Approved	07/06/2022

Branch Office Locations

CETERA ADVISOR NETWORKS LLC
3600 WILSHIRE BLVD., SUITE 1914
LOS ANGELES, CA 90010

Employment 2 of 2

Firm Name: **CETERA INVESTMENT ADVISERS LLC**

Main Address: 1450 AMERICAN LANE
6TH FLOOR, SUITE 650
SCHAUMBURG, IL 60173-2096

Qualifications

Firm ID#: 105644

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	06/29/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	06/29/2023

Branch Office Locations

CETERA INVESTMENT ADVISERS LLC
3600 WILSHIRE BLVD., SUITE 1914
LOS ANGELES, CA 90010

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	09/10/2005

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	02/10/2012
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/30/2006

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

 Report about Joshua Shapiro.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	04/26/2022 - 06/29/2023	CETERA ADVISOR NETWORKS LLC	CRD# 13572	EL SEGUNDO, CA
IA	10/04/2021 - 05/05/2022	MUTUAL TRUST ASSET MGMT., INC.	CRD# 121364	Camarillo, CA
B	09/22/2021 - 05/05/2022	MUTUAL TRUST COMPANY OF AMERICA SECURITIES	CRD# 8494	ST. PETERSBURG, FL
B	12/16/2019 - 08/26/2021	VISION 4 FUND DISTRIBUTORS	CRD# 298105	SCOTTSDALE, AZ
IA	12/16/2015 - 11/21/2019	AST INVESTMENT SERVICES, INC.	CRD# 108897	SHELTON, CT
B	12/16/2015 - 11/08/2019	PRUDENTIAL ANNUITIES DISTRIBUTORS, INC	CRD# 21570	SHELTON, CT
B	03/05/2014 - 12/01/2015	SAMMONS FINANCIAL NETWORK, LLC	CRD# 158538	WEST DES MOINES, IA
IA	02/15/2012 - 03/31/2014	PARTNERVEST ADVISORY SERVICES LLC	CRD# 113621	SANTA BARBARA, CA
B	01/04/2013 - 03/10/2014	GIRARD SECURITIES, INC.	CRD# 18697	ENCINO, CA
B	07/31/2009 - 12/31/2012	SORRENTO PACIFIC FINANCIAL, LLC	CRD# 127787	SANTA BARBARA, CA
B	04/16/2009 - 07/31/2009	PARTNERVEST SECURITIES, INC.	CRD# 104134	ENCINO, CA
B	09/12/2005 - 04/15/2009	JOHN HANCOCK DISTRIBUTORS LLC	CRD# 5249	SANTA BARBARA, CA

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
08/2023 - Present	VENTURA BRAVES BASEBALL CLUB	GENERAL MANAGER/BASEBALL COACH	N	CAMARILLO, CA, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
08/2023 - Present	VENTURA COUNTY UNIFIED SCHOOL DISTRICT, FOOTHILL TECHNOLOGY HIGH	ASSISTANT HIGH SCHOOL BASEBALL COACH	N	VENTURA, CA, United States
06/2023 - Present	CETERA INVESTMENT ADVISERS LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
06/2022 - Present	BESPOKE ASSET MANAGEMENT	OWNER	Y	ENCINO, CA, United States
04/2022 - Present	CETERA WEALTH SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, United States
03/2020 - Present	FINANCIAL DISTRIBUTORS GROUP	INDEPENDENT CONTRACTOR	N	CAMARILLO, CA, United States
08/2021 - 04/2022	Mutual Trust Company of America Securities	Sales	Y	St. Petersburg, FL, United States
12/2019 - 08/2021	VISION 4 FUND DISTRIBUTORS	WHOLESALER	Y	SCOTTSDALE, AZ, United States
12/2015 - 10/2019	Prudential Annuities Distributors, Inc.	SALES	Y	Shelton, CT, United States
12/2015 - 10/2019	The Prudential Insurance Company of America	SALES	Y	Shelton, CT, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

1. NAME OF OTHER BUSINESS: FIXED INSURANCE WITH VARIOUS COMPANIES
INVESTMENT RELATED: YES
ADDRESS: SAME AS REGISTERED LOCATION
NATURE OF BUSINESS: FIXED INSURANCE
POSITION/TITLE/RELATIONSHIP: AGENT
START DATE: 3/2006
APX NUMBER OF HOURS PER WEEK: 5
APX NUMBER OF HOURS DURING TRADING HOURS: 1
BRIEF DESCRIPTION OF DUTIES: SALES OF LIFE, HEALTH, DISABILITY, ANNUITIES, AND LONG TERM-CARE;

2. NAME OF OTHER BUSINESS: BESPOKE ASSET MANAGEMENT;
INVESTMENT RELATED: YES,
ADDRESS: SAME AS REGISTERED LOCATION,
NATURE OF BUSINESS: FINANCIAL SERVICES,
START DATE: 06/2022,
POSITION/TITLE/RELATIONSHIP: OWNER;
APX NUMBER OF HOURS PER WEEK: 40,

Registration & Employment History

OTHER BUSINESS ACTIVITIES

APX NUMBER OF HOURS DURING TRADING HOURS: 32.5,
BRIEF DESCRIPTION OF DUTIES: DBA FOR FINANCIAL SERVICES;

3. NAME OF OTHER BUSINESS: SAFE HARBOR FINANCIAL;
INVESTMENT RELATED: YES,
ADDRESS: 935 KINGS HIGHWAY, SUITE 300, WEST DEPTFORD, NJ 08086,
NATURE OF BUSINESS: FINANCIAL SERVICES,
START DATE: 8/2023,
POSITION/TITLE/RELATIONSHIP: FINANCIAL PROFESSIONAL,
APX NUMBER OF HOURS PER WEEK: 10,
APX NUMBER OF HOURS DURING TRADING HOURS: 10,
BRIEF DESCRIPTION OF DUTIES: DBA FOR SALE AND SERVICE OF FIXED INSURANCE;

4. NAME OF OTHER BUSINESS: FINANCIAL DISTRIBUTORS GROUP;
INVESTMENT RELATED: YES,
ADDRESS: 935 KINGS HIGHWAY, SUITE 300, WEST DEPTFORD, NJ 08086,
NATURE OF BUSINESS: FINANCIAL SERVICES,
START DATE: 8/2023,
POSITION/TITLE/RELATIONSHIP: REGIONAL DIRECTOR,
APX NUMBER OF HOURS PER WEEK: 40,
APX NUMBER OF HOURS DURING TRADING HOURS: 32.5,
BRIEF DESCRIPTION OF DUTIES: DBA FOR SALE AND SERVICE OF FIXED INSURANCE;

5. NAME OF OTHER BUSINESS: VENTURA BRAVES BASEBALL CLUB
INVESTMENT RELATED: NO;
ADDRESS: SAME AS RESIDENTIAL LOCATION;
NATURE OF BUSINESS: BASEBALL CLUB;
START DATE: 8/2023;
POSITION/TITLE/RELATIONSHIP: GENERAL MANAGER/BASEBALL COACH;
APX NUMBER OF HOURS PER WEEK: 10
APX NUMBER OF HOURS DURING TRADING HOURS: 10;
BRIEF DESCRIPTION OF DUTIES: MANAGE & COACH BASEBALL;

6. NAME OF OTHER BUSINESS: VENTURA COUNTY UNIFIED SCHOOL DISTRICT, FOOTHILL TECHNOLOGY HIGH SCHOOL;
INVESTMENT RELATED: NO;
ADDRESS: 100 DAY RD, VENTURA, CA 93003;
NATURE OF BUSINESS: HIGH SCHOOL BASEBALL;
START DATE: 8/2023;
POSITION/TITLE/RELATIONSHIP: ASSISTANT HIGH SCHOOL BASEBALL COACH;
APX NUMBER OF HOURS PER WEEK: 10,
APX NUMBER OF HOURS DURING TRADING HOURS: 10,
BRIEF DESCRIPTION OF DUTIES: COACH HIGH SCHOOL BASEBALL;

7. NAME OF OTHER BUSINESS: BESPOKE ENTERPRISES, INC DBA BESPOKE ASSET MANAGEMENT;
INVESTMENT RELATED: NO;
ADDRESS: SAME AS RESIDENTIAL LOCATION;
NATURE OF BUSINESS: HOLDING COMPANY;
START DATE: 7/2026;
POSITION/TITLE/RELATIONSHIP: OWNER;

Registration & Employment History

OTHER BUSINESS ACTIVITIES

APX NUMBER OF HOURS PER WEEK: 5;
APX NUMBER OF HOURS DURING TRADING HOURS: 1;
BRIEF DESCRIPTION OF DUTIES: HOLDING COMPANY TO SUPPORT FINANCIAL SERVICES BUSINESS;

Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending, on appeal,* or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated, settled* or *otherwise resolved*.
  - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.

DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Termination	2

Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 2

Reporting Source: Firm
Firm Name: Prudential Annuities Distributors
Termination Type: Voluntary Resignation
Termination Date: 10/25/2019
Allegations: At the time of resignation, investigation concluded that Registered Representative submitted to the Company annuity product training sign-in sheets containing non-genuine signatures of third party financial professionals.
Product Type: No Product

Reporting Source: Individual
Firm Name: AST INVESTMENT SERVICES, INC.
Termination Type: Voluntary Resignation
Termination Date: 10/25/2019
Allegations: At the time of resignation, investigation concluded that Registered Representative submitted to the Company annuity product training sign-in sheets containing non-genuine signatures of third party financial professionals.
Product Type: No Product

Disclosure 2 of 2

Reporting Source: Firm
Firm Name: Prudential Annuities Distributors
Termination Type: Voluntary Resignation

Termination Date: 10/25/2019

Allegations: At the time of resignation, investigation concluded that Registered Representative submitted to the Company annuity product
training sign-in sheets containing non-genuine signatures of third party financial professionals.

Product Type: No Product

Reporting Source: Individual

Firm Name: PRUDENTIAL ANNUITIES DISTRIBUTORS, INC.

Termination Type: Voluntary Resignation

Termination Date: 10/25/2019

Allegations: At the time of resignation, investigation concluded that Registered Representative submitted to the Company annuity product training sign-in sheets containing non-genuine signatures of third party financial professionals.

Product Type: No Product

End of Report

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